

Schedule 165-5

DEPARTMENT OF ADMINISTRATIVE SERVICES

RISK MANAGEMENT – STATE CLAIMS BOARD

September 24, 2015

Nebraska Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508
(402) 471-2559

**REQUEST FOR APPROVAL
OF RECORDS RETENTION
AND DISPOSITION SCHEDULE**

SCHEDULE

165-5

AGENCY, BOARD OR COMMISSION

**DEPARTMENT OF ADMINISTRATIVE
SERVICES – RISK MANAGEMENT**

DIVISION, BUREAU OR OTHER UNIT

STATE CLAIMS BOARD DIVISION

**TO: STATE RECORDS ADMINISTRATOR
STATE OF NEBRASKA**

**Supersedes Schedule 55 Edition of September 26,
1989**

PART I – AGENCY STATEMENT:

In accordance with Section 84-1212.01, R.R.S. 1943, approval of the attached records retention and disposition schedule by the State Records Administrator is hereby requested. Retention periods and dispositions have been recommended by this agency after a careful evaluation of all factors listed in Section 84-1212.01, R.R.S. 1943.

SIGNATURE

TITLE

DATE

Shawn Pandy
Risk Manager

9/2/2015

PART II – APPROVAL OF STATE ARCHIVES:

The attached schedule has been analyzed, all archival and historical material has been properly identified, no disposition except by transfer to the State Archives has been recommended for such material, and this schedule is approved as submitted.

SIGNATURE

DATE

Maya Koster

9/24/2015

PART III – APPROVAL OF AUDITOR OF PUBLIC ACCOUNTS:

The attached schedule has been reviewed, all audit material has been properly identified, and this schedule is approved as submitted.

SIGNATURE

DATE

Dawn Haefliger

9/21/15

PART IV – APPROVAL OF STATE RECORDS ADMINISTRATOR:

The attached schedule has been reviewed in accordance with Section 84-1212.01, R.R.S. 1943, and is approved as submitted.

SIGNATURE

DATE

Jim A. Lee

9/24/15

INSTRUCTIONS FOR USING THIS SCHEDULE

Records retention and disposition schedules are designed to serve as your records management guideline for storing and disposing of agency records, **regardless of the media on which they reside**, including paper, microfilm, diskettes, optical disks, CDs, DVDs, servers, computer hard drives, etc. This schedule was written specifically for records unique to your office and the State Agencies General Records Schedule #124 contains those records common to most state government agencies. This retention schedule, which is approved by the State Records Administrator, provides your only ongoing authority to dispose of records. Listed below are some basic procedures to follow when applying your schedule.

DISPOSING OF RECORDS

1. Check your schedules to see what the retention period is. Note: Your agency's unique schedule will take precedence over State Agencies General Records Schedule #124 for any items which have differences in retention requirements.
2. Dispose of records that have met their retention periods.
3. For records requiring a review of, or transfer to the **NE State Historical Society (State Archives)**, your agency is required to contact the State Archives to negotiate the transfer. Additionally, **once the records are accessioned into their collection, they become the property of the State Archives** (Neb. Rev. Stat. §82-105). The State Archives may remove selected records in accordance with standard archival practices to ensure efficient access, organization and enduring historical value (Neb. Rev. Stat. §82-107). Please contact their office by calling (402) 471-4783.
4. Complete a Records Disposition Report for the records you dispose. The Records Disposition Report form is the 2nd to the last page of this schedule. Remove the form, photocopy it, complete the form, make a photocopy for your records, and send the completed form to the Records Management Division at the address below. If you wish, you may receive this form electronically by contacting the Records Management Division. This report establishes that the destruction was performed in your normal course of business.

Please remember to retain the blank form for future use.

NON-SCHEDULED RECORDS

Contact a Records Management Specialist in Records Management to see whether the records will fit under an item already on the schedule. If they do not, they must be retained until they are added to the next revision of your schedule.

SCHEDULE UPDATE

It is the responsibility of each agency to periodically update their schedule. A Records Management Specialist in Records Management can assist you with the schedule update, which may involve adding new records series and making revisions to existing items. Keeping your schedule current will ensure you have the ongoing authority to discard records when their useful life has ended.

QUESTIONS

If you have any questions about these procedures, please contact your agency Records Officer or the Records Management Specialist in Records Management. They will help you with any questions the schedule may present, including: transferring records to the State Records Center or microfilming records, scanning records, etc.

**Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508-2294
402-471-2559**

SCHEDULE 165-5
ADMINISTRATIVE SERVICES-RISK MANAGEMENT
STATE CLAIMS BOARD
September 24, 2015

Retention requirements are for all records, regardless of the media on which they reside, unless otherwise noted.

Supersedes Edition Schedule 55 September 26, 1989

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
165-5-1	CLAIMS EXPERIENCE	Printouts from insurance companies or claims administrators representing the actual expenditures for their policies.	State Records Center after 5 years; 20 years	
165-5-2	DOCKET SHEETS/TORT, MISCELLANEOUS AND CONTRACT CLAIMS FILE	Record of name, address, amount of claim, action taken on each tort, miscellaneous and contract claim, etc. Includes all records concerning torts, miscellaneous and contract claims against the state. May include original copies of Claim for Injury or Damage, Attorneys' petitions, disbursement documents having release statements on the back signed by the complainant, etc.	State Records Center 3 years after case is closed; 20 years after case is closed	
165-5-3	INSURANCE POLICIES	Record of all insurance policies for agencies of State Government. May include fidelity bonds, motor vehicle, property and any individual agency policies, specifications, winning bids, claim information, etc.	5 years after policy expires	
165-5-4	INVENTORY CENSUS RECORDS	Records that form the basis of insurance coverage and devises risk exposure.	5 years after related policy is terminated	
165-5-5	STATE CLAIMS BOARD BILL OF EXCEPTIONS AND TRANSCRIPTS	Records of all State Claims Board which includes notice of hearings, sign-in sheets, recording forms, agendas, room reservations, opening act, audio recording tapes, and all other relevant documents to the State Claims Board process.	State Records Center 3 years after the date of the hearing; 20 years after each hearing	
165-5-6	WORKERS' COMPENSATION CASE FILE DATABASE	Includes particular information on Workers' Compensation Cases. May include name of individual, social security number, type of injury, payments and status of case etc.	Permanent	
55-2	TORT, MISCELLANEOUS AND CONTRACT CLAIMS FILE			See DOCKET SHEETS/TORT, MISCELLANEOUS AND CONTRACT CLAIMS FILE, Item 165-5-2

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
55-4	WORKERS' COMPENSATION CASE FILES			See FIRST REPORTS OF ALLEGED ACCIDENT OR OCCUPATIONAL DISEASE OR FIRST REPORT OF OCCUPATIONAL INJURY OR ILLNESS, Schedule 124- 59
55-3	VEHICLE ACCIDENT REPORTS (STATE FLEET)		Immediate disposal	Obsolete

RECORDS DISPOSITION REPORT

TO: SECRETARY OF STATE RECORDS MANAGEMENT DIVISION 440 S. 8TH STREET SUITE 210 LINCOLN, NE 68508-2294	AGENCY
	DIVISION
	SUB-DIVISION

REQUIRED INFORMATION:

In accordance with the Records Management Act, records of this agency have been disposed of under the authorization granted by the following schedule(s):

SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)	TOTAL VOLUME DISPOSED (SEE REVERSE)

OPTIONAL INFORMATION (FOR YOUR USE ONLY):

You may include detailed information which will be useful to you in recording exactly what records were disposed of and under what authority. This might include such things as schedule section and item numbers, title of records, inclusive dates of records, etc. This information is not required to be filed with Records Management.

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DATE	SIGNATURE
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SEND ORIGINAL TO RECORDS MANAGEMENT. MAKE A PHOTOCOPY FOR YOUR RECORDS.

RMA 03006D

VOLUME ESTIMATING GUIDE

(PLEASE NOTE THAT FOR REPORTING PURPOSES, A BALLPARK ESTIMATE OF THE TOTAL VOLUME OF MATERIAL DISPOSED IS ADEQUATE.)

Container	Cubic Feet	Weight (lbs)	Sheets of Paper (8.5" x 11")	Electronic Data Equivalent
			1	20 Kb
			52	1 Mb (1024 Kb)
			53,687	1 Gb (1024 Mb)
N/A	N/A	2,204 lbs (1 metric ton)	220,000	4.1 Gb
Records center carton	1 Cu. Foot	16.66 lbs	1,667	32 Mb
Vertical File Cabinet, 4 drawer letter-size	6 Cu. Feet	100 lbs	10,000	190 Mb
Vertical File Cabinet, 4 drawer legal-size	8 Cu. Feet	133.3 lbs	13,333	254 Mb
About a pickup load	50 Cu. Feet	7,500 lbs	748,638	14 Gb